

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Daniel McCabe and John Mulheren

Application No.: 09/559,320

Filed: April 27, 2000

For: DERIVATIVE SECURITIES TRADING
PRODUCT UTILIZING SUBSETS OF
INDICES OR PORTFOLIOS



Group Art Unit: ³⁶²⁴~~2768~~

Examiner: Not yet assigned

Attorney Docket No.: 10449-00

PATENT

RWB

11-27-01

Group 2800

JUL 24 2000

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INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97(b)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant requests that the references listed on the enclosed Form PTO-1449 be made of record in the present application. A copy of each reference is enclosed.

As this statement is being submitted before the first Office Action or within three months of the filing date, no fee is believed to be due. Should any fees be required, please charge it to Pennie & Edmonds LLP's Deposit Account No. 16-1150.

Respectfully submitted,

Date July 20, 2000

Nanda K. Alapati

For: Nanda K. Alapati
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Enclosures